



Attorney's Docket No. 042390.P5769  
Express Mail No. EL635698884US

*Handwritten:* 22 Jan 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re CPA Application of:

Gang Bai

Application No. 09/109,261

Filed: June 30, 1998

For: A MULTI-LAYER GATE DIELECTRIC

Examiner: Warren, M.

Art Group: 2815

Box CPA  
Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
JAN - 8 2001  
TC 2800 MAIL ROOM

PRELIMINARY AMENDMENT

Sir:

In connection with the Continuing Prosecution Application under 37 CFR §1.53(d),  
Applicant respectfully requests entry of the following amendments.

IN THE CLAIMS

Please amend claims 8 and 15 as follows:

- 1 8. (Twice Amended) A transistor device having a gate electrode overlying a gate dielectric  
2 formed directly on a semiconductor substrate, the gate dielectric comprising:  
3 *Sub* a first dielectric material having a first dielectric constant; and  
4 a second dielectric material having a second dielectric constant different from the first  
5 dielectric constant,

Please type a plus sign (+) inside this box →

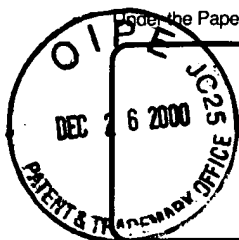


01-03-01

PTO/SB/29 (10/00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



## CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing.  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:

☐ DUPLICATE

Address to:

Assistant Commissioner for Patents  
Box CPA  
Washington, DC 20231

Attorney Docket No. of Prior Application	42390P5769
First Named Inventor	Gang Bai
Examiner Name	2811
Group / Art Unit	Warren, M.
Express Mail Label No.	EL635698884US

This is request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d),  
(continued prosecution application (CPA)) of prior application number 09/109,261,  
filed on June 30, 1998, entitled A MULTI-LAYER GATE DIELECTRIC.

### NOTES

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a cpa may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☐ Enter the unentered amendment previously filed on \_\_\_\_\_  
under 37 CFR 1.116 in the prior nonprovisional application.
- ☒ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53 (d)(4).
  - ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:  
.....
  - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed:
  - ☐ PTO-1449
  - ☐ Copies of IDS Citations

01/05/2001 AGOITOM 00000010 09109261  
01 FC:131

RECEIVED  
JAN - 8 2001  
799  
JC 2300 MAIL ROOM

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box CPA, Washington, DC 20231.

Please type a plus sign (+) inside this box → ☐

PTO/SB/29 (10/00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.16(c))	14	-20* =	0	x \$ 18.00 =	\$ 0.00
INDEPENDENT CLAIMS(37 CFR 1.16(b))	2	-3** =	0	x \$ 80.00 =	0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))				+\$ _____ =	
				BASIC FEE (37 CFR 1.16)	710.00
				Total of above Calculations =	710.00
Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27).					
* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent.				TOTAL =	710.00

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to  
Deposit Account No. 02 -2666:
- a. ☒ Fees required under 37 CFR 1.16.
- b. ☒ Fees required under 37 CFR 1.17.
- c. ☐ Fees required under 37 CFR 1.18.
8. ☒ A check in the amount of \$ 710.00 is enclosed.
9. ☐ Payment by credit card. Form PTO-2038 is attached.
10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of \_\_\_\_\_ months  
(not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
11. New Attorney Docket Number, if desired \_\_\_\_\_  
(Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)
12. a. ☐ Receipt for Facsimile Transmitted CPA (PTO/SB/29A)
- b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)
13. ☐ Other: \_\_\_\_\_

**NOTE:** The prior application's correspondence address will carry over to this CPA  
UNLESS a new correspondence address is provided below.

#### 10. NEW CORRESPONDENCE ADDRESS

☒ Customer Number of Bar Code Label



or ☐ Correspondence address below

ADDRESS	William Thomas Babbitt, Reg. No. 39,591				
	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN				
	12400 Wilshire Boulevard, Seventh Floor				
CITY	Los Angeles	STATE	California	ZIP CODE	90025
COUNTRY	U.S.A.	TELEPHONE	(310) 207-3800	FAX	(310) 820-5988

#### 11. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

NAME	William Thomas Babbitt, Reg. No. 39,591
SIGNATURE	<i>William T Babbitt</i>
DATE	12/26/01